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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Xumu Zhang
Serial No.: 09/992,551
For: ASYMMETRIC CATALYSIS BASED ON CHIRAL PHOSPHOLANES
AND HYDROXYL PHOSPHOLANES
Filed: November 6, 2001
Examiner: Not Yet Assigned
Art Unit: 1626
Confirmation Code: 1453

Attorney Docket: 823.0090USQ

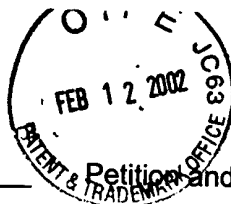
**BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231**

Sir:

**TRANSMITTAL OF MISSING PARTS OF APPLICATION AND
PAYMENT OF SURCHARGE UNDER 37 C.F.R. §1.16(e)**

Transmitted herewith are the following documents pertaining to the above-identified application:

- XXX** Declaration and Power of Attorney form executed by **Xumu Zhang**;
- ___ Declaration Claiming Small Entity Status (Small Business Concern);
- ___ _____ Sheets of Formal Drawings;
- XXX** An Assignment of the Invention to : **The Penn State Research Foundation**,
including \$40.00 recordation fee and Assignment Recordation Cover Sheet;
- XXX** The undersigned attorney has verified that the applicant is entitled to a
Small Entity Status;
- ___ A Certified Copy of the Priority Application;
- ___ Information Disclosure Statement (Form - 1449); and
- XXX** A copy of the Notice to File Missing Parts of Application Filing Date Granted.



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Petition and Fee for Extension of Time (37 CFR 1.136(A)).

The Filing Fee is calculated below.

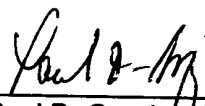
CLAIMS AS FILED				
(1) For	(2) Number Filed	(3) Number Extra	(4) Rate	(5) Basic Fee \$740.00
Total Claims	42 - 20 =	22	x \$18.00	\$396.00
Independent Claims	6 - 3 =	3	x \$84.00	\$252.00
Multiple Dependent Claim Fee		x \$280.00 = \$0.00		
TOTAL FILING FEE				\$1388.00

1/2 FILING FEE FOR SMALL ENTITY	\$694.00
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XXX A check in the amount of **\$ 799.00** to cover the filing fee (\$694), surcharge (\$65), and Assignment recordation fee (\$40) is enclosed.

XXX The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§1.16 and 1.17 which may be required with this communication or during the entire pendency of the application, or credit any overpayment, to **Deposit Account No. 01-0467**. A duplicate copy of this Form is enclosed.

January 21, 2002
Date



Paul D. Greeley, Esq.
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.
Attorney for Applicant(s)
Registration No. 31,019
Telephone: (203) 327-4500
Telefax: (203) 327-6401

CERTIFICATE OF MAILING

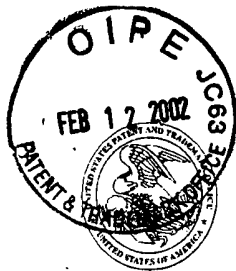
I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: BOX MISSING PARTS, COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231, ON **JANUARY 21, 2002**.

Jeffrey J. Scepanski
NAME.



SIGNATURE

01/21/02
DATE



UNITED STATES PATENT AND TRADEMARK OFFICE

#3

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/992,551	11/06/2001	Xumu Zhang	823.0090USQ

CONFIRMATION NO. 1453

FORMALITIES LETTER



OC000000007180967

PAUL D. GREELEY, ESQ.
OHLANDT, GREELEY, RUGGIERO & PERLE, L.L.P.
10th FLOOR
ONE LANDMARK SQUARE
STAMFORD, CT 06901-2682

Date Mailed: 12/11/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

02/15/2002 MWOLDER1 00000067 09992551

01 FC:201 370.00 OP
02 FC:202 126.00 OP
03 FC:203 138.00 OP
04 FC:205 65.00 OP

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$648.
 - \$396 for 22 total claims over 20.
 - \$252 for 3 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1518.

A copy of this notice **MUST** be returned with the reply.

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Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE